Digital Archives of Georgia (DAG)

Project Charter

Executive Sponsor – Karen Handel, Secretary of State

Business Owner – David Carmicheal, Director, Georgia Archives

Project Manager – Amelia Winstead

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Revision History

Date	Filename/version #	Author	Revision Description
7/6/07	DAG Project Charter v1	Winstead	Original draft
8/21/07	DAG Project Charter v2	Winstead	Information from Reston trip included
9/24/07	DAG Project Charter v3	Winstead	Comments from J Welch
12/10/2007	DAG Project Charter v3.1	Winstead	Comments from Scope Meeting

Project Charter

1.0 Scope of Work

The Digital Archives of Georgia (DAG) is intended to maintain the accessibility of historical digital objects over long periods of time and to maintain their authenticity and reliability as evidence of government transactions. DAG is envisioned as a comprehensive, systematic and dynamic means of preserving digital objects free from dependence on specific hardware and/or software. The system should automate many of the lifecycle processes and make it easier to deliver digital objects in formats suited to customers' needs. This project covers Release 1.0 of DAG, the pilot project. A project of this nature will require multiple iterations. The first iteration of this project, The DAG Pilot, is due by December 31, 2008. This time frame requires assertive scope management. The Georgia Archives will consider ideas for improvements and increased functionality in subsequent releases.

The Archives will capture business expectations, requirements, and desirables into a Requirements Document (RD). An RD is a compilation of the requirements into a standardized format. The preliminary requirements will represent the core capabilities of the Digital Archives of Georgia system. These requirements will in turn serve as the benchmark for system development activities for the duration of the DAG program. However, it is important to note that requirements will be updated as necessary to reflect needs and technology trends.

The attributes and functionality that will be in scope for DAG Release 1.0 are as follows:

- Infrastructure independence: an architecture that allows preservation of content independent of any specific hardware and software that was used to produce them;
- Modularity: ability to use plug-in components that can be replaced with minimal impact to remaining components as workload and technology change;
- Scalability: capable of accommodating growth and managing differing sizes of repositories and ever increasing volumes of content;
- Extensibility: while the initial pilot will focus on limited record types, the pilot should be designed to expand and include additional kinds of content; and,
- Flexibility: enable the Georgia Archives to tailor content-based services to suit its customers' needs and enable the Georgia Archives to implement progressive improvements in its business processes over time.

The DAG Release 1.0 should provide the following capabilities:

- Accept the transfer of digital records in specified formats (TIF and PDF) as they were created or stored by the agency and the flexibility to easily adapt to additional file formats;
- Ingest, preserve, and provide access to that content through the creation and maintenance of a minimum of three copies of any content – the original bit stream, a preservation copy, and a presentation copy (multiple presentation copies may exist to protect confidential information from public use but allow agency use of the information);
- Store content in a manner that is independent of any particular hardware and software component over long periods of time;
- Scale in order to store and preserve content based on growth estimates provided by Archives staff;
- Provide access to the content in electronic form for all users based on established user rights and privileges, thus ensuring that the system users are able to access all of the content that they are entitled to see;
- Provide access to the content in a manner consistent with current technology and the changing expectations of diverse user communities;
- Identify the essential characteristics of the content that is being preserved for the purposes of authentication and certification;
- Provide end-to-end automated work processes that streamline the content management lifecycle processes for all content;
- Manage the authentication, transfer and ingest of all content;
- Support the end-to-end tracking of all content during the process of transfer and ingest;
- Ensure that content transferred to the digital archives remains free from corruption;
- Accept transfers of content, check that the content conforms to terms and conditions of the transfer documentation, and store them in the system;
- Provide an automated tool to inform the Georgia Archives of any content eligible for transfer that has been submitted by an agency;
- Support preservation services so that the original bit stream can be preserved over time;
- Support the description of content so that it is clearly identified, discoverable, and retrievable;
- Enforce restrictions on access and release of content;
- Output copies of content as specified by users;
- Output authentic certified copies of content;
- Monitor system performance;
- Maintain system security; and
- Provide audit trails of system activity.

The proposed DAG will be government-wide and will operate within the context of the Enterprise Architecture. The system will be capable of interfacing with other applications through state government for transfer of content to the Archives, for retrieval of content by its creator and others, and for content management lifecycle processes in which the Archives interacts with other

entities in all three branches of government. The volume and diversity of content that is ingested and disseminated, and the potential for expected heavy use of the system, will have considerable impact on the Archives computing environment.

2.0 Justification and Objectives

Successful completion of this project will enable the Georgia Archives to acquire, preserve, and provide access to the historical digital records of Georgia state government. Failure to meet the objectives of the project will result in the loss of key historical records from the 20th and 21st centuries, resulting in the failure of the Archives to meet its statutory mandates.

2.1 Justification

The Georgia Archives was established in 1918 by public law 434 (now codified as O.C.G.A. §45-13-40 et seq.). As the official archives for the state of Georgia, the Georgia Archives is responsible for the effective and efficient management, preservation, and use of public records of state government. To continue to fulfill its mandate, the Georgia Archives must respond effectively to the challenge posed by electronic records – digital content and digital objects[1] as they are termed in this document. To that end, the Archives must develop new policies and procedures for the management and care of digital objects. As part of that process, we are developing a digital archives system at the Archives, to preserve and provide access to permanent digital content.

2.2 Business Objectives

The specific objectives for the DAG are solutions that:

Number	Description
Business Objective 1	Implement simple, reliable, persistent methods to capture, identify, index, store, and retrieve digital objects
Business Objective 2	Provide a cost-effective means to retain and maintain, through migration processes, the readability and accessibility of the historical record of state government.
Business Objective 3	Provide public access to the collection(s) so that citizens and government officials have the ability to search and retrieve information and historical objects to explain the role of

[1] Digital content within the scope of the system is any permanent digital records identified by retention schedule (or other means) and digital objects, such as a web page or data warehouse determined as having historical value but that may not meet the definition of a record. All such digital content is created by a Georgia government entity or its legal agent. A digital object is a single instance of digital content.

Number	Description
	government in the state of Georgia, ideally via remote access.

2.3 Technical Objectives

Number	Description
Technical Objective 1	Ensure appropriate bandwidth for transfer and access of records
Technical Objective 2	Establish secure, reliable methods for transfer of digital records.
Technical Objective 3	Implement workflow processes for the ingest, processing, and preservation of digital records.
Technical Objective 4	Define acceptable file formats for use with permanent digital records (initial policies in place)
Technical Objective 5	Define archives-ready records and establish standards for their creation and maintenance.
Technical Objective 6	Deploy access portal for agency and citizen use of historical records.

2.4 Quality Objectives

Number	Description
Quality Objective 1	Access portal available to intended users 99.9% of time
Quality Objective 2	Agencies are able to transfer permanent digital records through a variety of means, including FTP.
Quality Objective 3	DAG provides for the secure storage of authentic records in an economical and sustainable manner.

3.0 Schedule Estimate

October 2007 – December 2007: Initiation Phase – includes project planning, resource planning (budget confirmation, identification and assignment), scope and budget confirmation

January – February 2008: Implementation Planning – includes project control documentation, detailed project plan and schedule, and project kick-off meeting

March – April 2008: Analysis Stage: Planning - technical environment and business processes are defined

April – May 2008: Design Stage: Planning – high-level concept design and detailed database design completed; database/schema implementation; install and configure OS

May – June 2008: Development Construction Stage - templates and project approach are finalized

July 2008 – June 2009: Implementation Phase - system implementation, testing, and staff training

June 30, 2009: Closing – system is 'live' with no critical issues or integration critical issues, and support plan in place for handover to agency

4.0 Stakeholders

Name	Stake in Project	Organization	Title
Karen Handel	Executive Sponsor	Office of Secretary of State	Secretary of State
David Carmicheal	Business Owner	Division of Archives & History	Division Director
Andrew Taylor	RIMS Manager	Records & Information Management Services program	Assistant Director
Amelia Winstead	Project Director	Records & Information Management Services program	Government Services Manager
Jack Welch	Project Manager	GTA	Executive Project Director

5.0 Constraints

Number	Description
1	Schedule – implementation of R.1 complete by Dec. 2008 so that testing and staff training may commence

Number	Description
2	Staff availability
3	Funding

6.0 Dependencies

Project dependencies revolve around the Archives working relationship with both Microsoft and the agencies of the executive branch.

6.1 Mandatory Dependencies

Number	Description
1	Microsoft time table for implementation
2	Signed agreement between Microsoft and Office of Secretary of State
3	Agreement from agencies to transfer content

6.2 Discretionary Dependencies

Number	Description
NA	

6.3 External Dependencies

Number	Description
1	Availability of technical support from SOS-IT, GTA and Microsoft
2	Willingness of agencies to transfer digital records to DAG
3	Ability to increase bandwidth of MPLS line and routers between Towers and Archives

7.0 Assumptions

Number	Description
1	COTS software can provide an economical and sustainable method of preservating most historical digital records
2	

8.0 Risks

Risk	Probability	Impact	Response Type
Risk 1 - Lack of sufficient bandwidth to support the transfer and accessibility of agency records	High	High	Work with GTA and SOS/IT to identify solutions and budget for increasing bandwidth to meet demands.
Risk 2 – Lack of IT support for DAG	Medium	High	Provide for transfer of project memory from Microsoft team to member of SOS/Archives IT staff. May necessitate hiring or contracting with additional staff.
Risk 3 - State agencies reluctant to cooperate	Medium	High	By partnering with GTA and others, the Archives is hoping to ensure that this does not happen and result in the loss of historical records
Risk 4 - Unable to import and preserve legacy records	High	Low to medium	At a minimum, DAG will be able to convert data to the lowest common denominator (ASCII). The Archives realizes that access (through contracts) to legacy systems and conversion labs may be necessary.
Risk 5 - Failure to conduct adequate BC/DR planning	Low	High	The Archives has a long history of planning for disasters both large and small. Initial discussions regarding disaster planning are already underway even though the system is only in the design phase. Current plans are to back the system up (to the extent possible) using analog media, such as microfilm, as a failsafe against complete system failure.
Risk 6 - Failure of the state to maintain the use of	Low to medium	Medium	The Archives currently participates on the state's technology standards bodies. This participation is unlikely

Risk	Probability	Impact	Response Type
technology neutral standards			to change in the near future and ensures that digital preservation is a consideration in the adoption of standards.
Risk 7 - Lack of sustainable funding source	Medium to high	High	Storage costs are and will continue to be the Archives major funding challenge. It will be critical for the Archives to build and maintain awareness of funding needs as administrations change at all levels – within the SOS, General Assembly, Governor's Office, and executive branch agencies